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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/894,087	06/28/2001	Eric J. Horvitz	MS171133.1	5322
27195	7590	06/21/2006	EXAMINER	
AMIN & TUROCY, LLP 24TH FLOOR, NATIONAL CITY CENTER 1900 EAST NINTH STREET CLEVELAND, OH 44114			CHUNG, JI YONG DAVID	
			ART UNIT	PAPER NUMBER
			2143	

DATE MAILED: 06/21/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/894,087	<b>Applicant(s)</b> HORVITZ ET AL.	
	<b>Examiner</b> Ji-Yong D. Chung	<b>Art Unit</b> 2143	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE \_\_\_\_\_ MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 3/02/2006.
- 2a) ☒ This action is FINAL. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-80 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-80 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                                   | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date: _____  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>4/21/2006</u>   | 6) <input type="checkbox"/> Other: _____                                    |

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**DETAILED ACTION**

***Response to Remarks***

1. Applicant's arguments and amendments filed on March 2, 2006 have been carefully considered. The applicant's arguments have been considered, but they are deemed moot in light of new grounds of rejection.

While the Office believes that the amendments have substantively advanced the prosecution, the amendment raises a number of potential issues. In the instant Office action, the Office expresses these issues in the form of 35 U. S. C. 103 rejections, specifically in reference to amended claim 1.

Note that the Office has interpreted the amended portion of the claim in the worst "reasonable" way possible, as it is obligated to do so for the purpose of the examination. Rejections based on such reading of the claims maybe overcome by further amendment that incorporates proper clarifying language.

The Office withdraws the 35 U. S. C. 112 Second paragraph rejections, pertaining to claims 7 and 35.

Cancellation of claim 17 is acknowledged.

***Telephone Interview***

2. The Office will attempt to contact the applicant's representative upon further review of the case. If the Office fails to contact the applicant within a reasonable period, to allow the applicant sufficient time to prepare a response to the instant Office action, the applicant is encouraged to contact the Office, through either the email address or phone number provided below.

***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. **Claims 1-3, 12, 15, 31, 34-35 and 38** are rejected under 35 U.S.C. 102(e) as being anticipated by Liversidge et al. (Pub. No. 2002/0076025, Liver hereinafter) in view of Horvitz et al (Pat. No. 6,01,403, Horvitz hereinafter)

With respect to **claim 1**, Liver shows a system comprising:

*a user state identifier that determines a user's state from at least one context information source* ["A user state identifier" is the VTE client. See Fig. 1. It determines the user's state from what the user does], *wherein the user state identifier generates an indication of whether a user*

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*state change has occurred from the at least one context information source* [VTE client contacts the server and indicates the user action (“generates an indication of whether a user state change has occurred”)]; and

*a data log that stores information associated with the at least one context information source at about the time of the user state change to accumulate statistics relating to at least one of an availability and an unavailability of the user* [See Fig. 5 for logs. See paragraph 0073, which mentions that the server keeps a log. See paragraph 0154, which mentions a session log table, which has a “one context information source at about the time of the user state change” (user terminates or begins a session) “to accumulate statistics” (session logs accumulate session data) “about the availability of the user” (about session) of the user].

**With respect to the amended portion of the claims,** Liver also shows *an e-mail service to generate dynamically* [Liver has an email service, part of which lets other VTE clients to know if a user maybe reached through an email. This “heads up” service is dynamic, because it depends on user availability] *automated responses to one or more messages* [The response of the system is automatic. It is in response to the messages from the presence server] *based upon the user's availability* [The presence server bases its information on user availability]. See the paragraph 0067 for e-mail as one of the communication means.

Liver does not show a *prediction model*.

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However, Horvitz shows a prediction model [See lines 39-55, column 18 for the Inference engine (“a forecaster”), which makes forecasts based on event database. See lines 28-37, column 10, which indicates that event database model includes availability and unavailability of user].

It would have been obvious to one of ordinary skill in the art at the time of the invention to use the information gathering module and the inference engine in Horvitz with the presence server in Liver to determine the presence information, because Liver uses a presence server and Horvitz shows an improved presence detection (and forecasting) system based on the inference engine.

With reference to **claim 2**, Liver does not show, but Horvitz shows *the system further comprising a forecaster constructed from the accumulated statistics to enable a determination of the user's at least one of availability and unavailability* [See lines 39-55, column 18 for the Inference engine (“a forecaster”), which makes forecasts based on event database. See lines 28-37, column 10, which indicates that event database model includes availability and unavailability of user].

With respect to **claim 3**, Horvitz shows *the forecaster employs a probability distribution over a time until the user returns to drive an application wherein the user can review information that has arrived* [See from line 56, column 18 to line 54, column 22. Horvitz's inference engine employs a probability distribution over time. Note that phrase “until the user

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returns to the drive an application wherein the user can review information that has arrived” is just the time of the user availability to read a message].

With regard to **claim 12**, Horvitz shows *determining probabilities associated with the users return in an "x" amount of time, given that the user has been away for a "y" amount of time, based upon observed evidence of the user's context*. See lines 28-37, column 10 for different attention states, two of which are ‘available’ and ‘unavailable.’ In the same context, given the equations in lines 43-48, column 16, the above-mentioned “associated probability” is the probability that a user “will return in x amount of time” (that is, the probability that the user will be available at time  $t_p$ , given that a user was last available at  $t_0$ ).

With regard to **claim 15**, Horvitz shows *the forecaster that generates prediction information regarding at least one of the user's likely return and the user's current availability*. See the preceding discussion of claim 12. The features in Horvitz that meet the limitation of claim 12 also meet the limitations of claim 15.

With respect to **claim 31**, Horvitz shows *the user state identifier employs at least one of a rules-based determination, a statistical determination, and a decision-theoretic determination*. See the discussion of claim 2. Claim 31 reads on the features on which claim 2 reads.

With reference to **claim 34**, Horvitz shows that *the forecaster is constructed from at least one of probabilistic classifiers, support vector machines, Bayesian networks, Bayesian*

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*dependency networks, and decision trees.* See Figs. 24, 25, and 27 for Bayesian networks.

With reference to **claim 35**, Horvitz shows system of claim 34, *the forecaster further comprising forecasts cast as probability distributions, relating to at least one of the amount of time until a user returns to a situation  $i$ , or to a pattern of communication action  $j$ , based on multiple pieces of evidence,  $i$  and  $j$  being integers.* See lines 10-47 in column 16.

With regard to **claim 38**, Liver shows the following limitation:

*the forecaster employed to function in at least one of an automatic, collaborative, synchronous and asynchronous manner in conjunction with at least one of a contactor [the asynchronous operation is inherent in the use of the VTE (modified) client].*

Neither Liver nor Horvitz show the contactor and a contactee *to tentatively reschedule a communication or collaboration of one or more forms, based on inferences relating to the users availability.*

Note, however, rescheduling a meeting (“communication of collaboration of one or more forms”), which is what meeting organizers do when they find attendees’ schedules booked.

It would have been obvious to one of ordinary skill in the art at the time of the invention, for those that use Liver and Horvitz’s system, upon finding themselves busy, to reschedule meetings, because rescheduling a meeting or collaboration event allows them to meet.

5. **Claims 4, 6, 7, 20, 21, 36 and 47** are rejected under 35 U.S.C. 103(a) as being

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unpatentable over Liver and Horvitz and further in view of Horvitz et al., “Attention-Sensitive Alerting” (Horvitz\_2 hereinafter).

With respect to **claim 4**, Horvitz\_2 shows *a system to reason about an expected cost of delayed review of information so as to guide decisions about alerting the user before the user can observe the information*. See Section 4.1 Cost of Delayed Action, in Horvitz\_2.

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine a module for determining the best time to deliver a message, together, with a message delivery system of Liver, because, as it is suggested by Horvitz\_2, there is a cost associated with diverting one’s attention away from one’s task, and therefore, a given application (i.e, Liver’s system) will be more useful if it can send the message to the user at the moment at which it is most likely to minimize the cost of delay.

With regard to **claim 6**, Liver shows a display *that is accessed by other users, systems, and applications regarding the at least one of the user's availability and unavailability*.

See Fig. 1. It shows a VTC client screen, that indicates which communication means is unavailable and available. A user is unavailable when none of the communication means is available.

With regard to **claim 7**, Horvitz\_2 show conditioning *probabilities on different types of appointments that are observed on a calendar* [See page 8, lines 1-4, which indicates that Microsoft Outlook calendar is integrated into a system for computing the criticality (the cost) of each messages. Note that appointments (‘time slot that is occupied’) are inherent in calendar]

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*and shares information based on such considerations as to at least one of the nature and privileges of the person inspecting the calendar, wherein the information is based on an inferred urgency of a communication.* [The privilege level is inherent for each person accessing Microsoft Outlook on Windows (i.e., a user with an access privilege must have a password). Note that urgency is the ‘criticality.’]

With regard to **claim 20**, Horvitz\_2 *shows a priorities service wherein automated responses are generated as a result of an urgency threshold and the prediction information.* See Section 5 for “urgency” (‘criticality’) and see section 6 for “priorities service” (‘priorities prototypes’).

With regard to **claim 21**, Horvitz\_2 shows that *wherein the priorities service further comprises a user configuration interface that enables at least one of sending an automated response, configuring an urgency threshold, and configuring the amount of time the user is unavailable.* Horvitz\_2 shows Microsoft Outlook as part of its system, and Microsoft Outlook comprise a user configuration interface to enable “sending an automated response.”

With reference to **claim 36**, Liver shows *the forecaster including at least one of how long the user has already been gone, has not had access to a channel.* In Fig. 1, the user interface indicates which communication channel is accessed.

Horvitz\_2 shows two of *other evidence including at least one of a time of day, information on a calendar, location of a current or last appointment, location of a next*

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appointment, a type of day, the type of day including at least one of a weekend, holiday, weekday, and current status of the user. Horvitz\_2 forecaster uses Microsoft Outlook calendar. See section 6 for “time of day” as a factor used in forecasting.

With respect to **claim 47**, the following limitations read on a features of Liver: *a communications system, comprising: means for determining one or more user states; means for detecting a change of the one or more user states; means for storing user context information at about the time of detecting the change of the one or more user states* [See above discussion of claim 1]; and

The following limitation reads on the Hovitz’s features that read on claim 2.

*means for building a prediction model from the stored context information.* See above for the discussion of claim 2 for “forecaster constructed from accumulated statistics.”

Horvitz\_2 shows

*means for generating automated message response based upon forecasting information derived from the prediction model.* See the above discussion of claim 21. The feature of Horvitz\_2 that meets the limitation of claim 21 also meets the limitations of claim 47.

6. **Claims 23 and 25** are rejected under 35 U.S.C. 103(a) as being unpatentable over Liver in view of Horvitz and further in view of Horvitz, “Principles of Mixed-Initiative User Interfaces” (Horvitz\_3 hereinafter).

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With respect to **claim 23**, Liver shows a *voice mail service wherein automated acoustical responses are generated* [See VoiceMail in paragraph 0138 and voice communications].

Neither Liver nor Horvitz shows, but Horvitz\_3 shows  
*with associated prediction information that attempt to reschedule a call based upon considerations of the user's availability.* See Section "A TESTBED FOR MIXED-INITIATIVE UI", which speaks of scheduling appointments

It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Horvitz\_3 to Liver, because the automating the rescheduling of voice messages (for a meeting) would provide greater chance that the calling party will reach the called party.

With respect to **claim 25**, Horvitz\_3 shows a *scheduling system, wherein one or more user calendars are automatically updated to reflect the associated user's availability.* See "Multiple Interaction Modalities," section in Horvitz\_3. The second column notes that "[system] has readied the calendar view to shows the user or has created a tentative appointment before displaying the results."

6. **Claim 27** is rejected under 35 U.S.C. 103(a) as being unpatentable over Liver and Horvitz and further in view of Metcalfe ("After 35 years of technology Crusades, Bob Metcalfe rides off into the Sunset") and Jensen et al (Pat. No. 5,930,828, Jensen hereinafter)

With respect to **claim 27**, Jensen shows *an automated maintenance service wherein a maintenance operation is performed at times determined by the prediction information scheduled*

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*from at least one of a resident computer system and a remote computer system and wherein the maintenance service provides at least one of drive organization, drive de-fragmentation and virus checking.* As indicated in the Abstract, Jensen reference refers to disk de-fragmentation. It is performed at scheduled times. See lines 51-58, column 6 for schedules.

Horvitz shows the forecaster (“prediction information”) as discussed above.

It would have been obvious to one of ordinary skill in the art at the time of the invention to use the forecaster to schedule a disk de-fragmentation (analogous to one in Jansen) when a user is most likely not using a particular computer, because as it is indicated in Metcalfe on page 2 related to “DISK”, if the disk defragmenter is scheduled to run while the user is using the computer, one would waste much time waiting for disks to be backed up and de-fragmented. See page 2 of Metcalfe, on Disk.

*Conclusion*

7. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

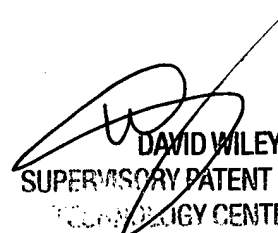
8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ji-Yong D. Chung whose telephone number is (571) 272-7988. The examiner can normally be reached on Monday-Friday 9:30-6:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, David Wiley can be reached on (571) 272-3923. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Ji-Yong D. Chung  
Patent Examiner  
Art Unit: 2143  
[david.chung2@uspto.gov](mailto:david.chung2@uspto.gov)



DAVID WILEY  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100